

## **SECTION 01 78 39**

### **PROJECT RECORD DOCUMENTS**

#### **PART 1 - GENERAL**

##### **1.1 SUMMARY**

**A. Section Includes:**

1. Administrative and procedural requirements for the following Project Record Documents:
  - a. Project Record Drawings, Shop Drawings
  - b. Project Record Specifications
  - c. Project Record Product Data
  - d. Miscellaneous Project Record Submittals

**B. Specific Project Record Documents requirements that expand requirements of this Section may be included in the individual Sections of Division 2.**

##### **1.2 SUBMITTAL**

**A. At completion of Project, Contractor shall deliver Project Record Documents to City. Project Record Documents required include:**

1. Marked-up copies of Drawings
2. Marked-up copies of Shop Drawings
3. Marked-up copies of Specifications, Addenda, Change Orders, and CCDs
4. Marked-up Product Data submittals
5. Final set of Project Record Drawings, including electronic version
6. Final set of Project Record Specifications
7. Final set of Project Record Product Data
8. Record Samples
9. Field records for variable and concealed conditions
10. Record information on Work that is recorded only schematically

**B. Contractor shall accompany submittal with transmittal letter containing:**

1. Date
2. Project title and City's Contract number
3. Contractor's name and address
4. Number and title of each Project Record Document
5. Certification that each document as submitted is complete and accurate, and signature of Contractor or Contractor's authorized representative.

### 1.3 GENERAL

- A. City will provide one full size set of Drawings and one copy of the Project Manual for Contractor's use for recording as-built conditions.
- B. Contractor shall post changes and Modifications to the Contract Documents as they occur. Do not wait until the end of the Project. City may periodically review Project Record Documents to assure compliance with this requirement.
- C. Contractor shall refer instances of uncertainty to City for resolution.
- D. Maintenance of Documents and Samples:
  - 1. Contractor shall store Project Record Documents and Samples in the field office apart from Contract Documents used for construction.
  - 2. Do not permit Project Record Documents to be used for construction purposes.
  - 3. Contractor shall maintain Project Record Documents in good order and in a clean, dry, legible condition.
  - 4. Contractor shall make Project Record Documents and Samples available at all times for inspection by City.

### 1.4 PROJECT RECORD DRAWINGS, SHOP DRAWINGS, AND SAMPLES

- A. Quality Draftsmanship: All Work on Project Record Drawings and Project Record Shop Drawings shall be performed by competent drafters and shall be clear and fully legible. City shall be the sole judge of the acceptability of the Project Record Drawings and Project Record Shop Drawings.
- B. Mark-up Procedure: During the construction period, Contractor shall maintain a set of Drawings of Drawings and Shop Drawings for Project Record Documents purposes ("Field Set"). Contractor shall stamp each document (on each sheet or page) "PROJECT RECORD" in 2-inch high letters. Contractor shall also maintain a set of Samples for Project Record Documents purposes. Contractor shall keep record documents current. Note: A reference by number to a Change Order, CCD, RFI, RFQ, RFP, Field Order or other such document is not acceptable as sufficient record information on any record document. Do not permanently conceal any Work until required information has been recorded.
  - 1. Mark Drawings and Shop Drawings to indicate the actual installation where the installation varies appreciably from the installation shown originally. Give particular attention to information on concealed elements that would be difficult to identify or measure and record later. Items required to be marked include but are not limited to:
    - a. Dimensional changes to the Drawings and Shop Drawings
    - b. Revisions to details shown on the Drawings and Shop Drawings
    - c. Depths of various elements of foundation in relation to main floor level or survey datum

- d. Horizontal and vertical location of underground utilities and appurtenances referenced to permanent surface improvements
  - e. Location of internal utilities and appurtenances concealed in construction referenced to visible and accessible features of structure
  - f. Locations of underground Work, points of connection with existing utilities, changes in direction, valves, manholes, catch basins, capped stub outs, invert elevations, and similar items
  - g. Actual numbering and set points of each electrical circuit
  - h. Field changes of dimension and detail
  - i. Revisions to routing of piping and conduits
  - j. Revisions to electrical circuitry
  - k. Actual equipment locations
  - l. Duct, conduit, and cable size and routing
  - m. Changes made by Change Order or CCD
  - n. Details not on original Drawings or Shop Drawings
2. Mark completely and accurately Drawings or Shop Drawings, whichever is the most capable of showing actual physical conditions. Where Shop Drawings are marked, show cross-reference on Drawings location.
  3. Mark important additional information that was either shown schematically or omitted from original Drawings
  4. Note CCD numbers, Alternate numbers, Change Order numbers, and similar identification
  5. **Mark Contract Drawings and Shop Drawings with red, erasable colored pencil.**
  6. Mark Samples to record changes made after review
  7. Responsibility for Mark-up: Where feasible, the individual or entity who obtained Project Record Drawing or Shop Drawing data, whether the individual or entity is the installer, Subcontractor, or similar entity, is required to prepare the mark-up on Project Record Drawings or Shop Drawings
    - a. Accurately record information in an understandable and legible drawing technique.
    - b. Record data as soon as possible after it has been obtained. In the case of concealed installations, record and check the mark-up prior to concealment.
- C. Preparation of Project Record Drawings and Project Record Shop Drawings: Immediately prior to inspection for Certification of Substantial Completion, review completed marked-up Project Record Drawings and Project Record Shop Drawings with City. When authorized, prepare final Project Record Drawings and Project Record Shop Drawings.

## 1.5 PROJECT RECORD SPECIFICATIONS

- A. During the construction period, Contractor shall maintain one copy of the Specifications, including Addenda and Modifications issued, for Project Record Documents purposes.
- B. Mark the Project Record Specifications to indicate the actual installation where the installation varies substantially from that indicated in Specifications and Modifications issued. Note related Project Record Drawing information, where applicable. Give particular attention to substitutions, selection of product options, Change Order and CCD Work, and information on concealed installation that would be difficult to identify or measure and record later.
  - 1. In each Specification Section where products, materials or units of equipment are specified or scheduled, mark the copy with the proprietary name and model number of the product furnished.
  - 2. Record the name of the manufacturer, catalog number, supplier and installer, and other information necessary to provide a record of selections made and to document coordination with Project Record Product Data submittals and Installation, Operation, and Maintenance Manuals.
  - 3. Note related Project Record Product Data, where applicable, for each principal product specified, indicate whether Project Record Product Data has been submitted in Installation, Operation, and Maintenance Manuals instead of submitted as Project Record Product Data.
- C. Preparation of Project Record Specifications: Immediately prior to inspection for Certification of Substantial Completion, review completed Field Set Project Record Specifications with City. When authorized, prepare final Project Record Specifications.
  - 1. After Substantial Completion and before Final Completion, carefully transfer all data shown on the Field Set to a separate clean set of Specifications provided by City. Include the printed designation "PROJECT RECORD SPECIFICATION" in a prominent location on the Specifications.

## 1.6 PROJECT RECORD PRODUCT DATA

- A. During the construction period, maintain one copy of each Product Data submittal for Project Record Document purposes.
  - 1. Mark Project Record Product Data to indicate the actual product installation where the installation varies substantially from that indicated in Project Record Product Data submitted. Include significant changes in the product delivered to the Site, and changes in manufacturer's instructions and recommendations for installation.
  - 2. Give particular attention to information on concealed products and installations that cannot be readily identified and recorded later.

3. Note related Change Orders and mark-up of Project Record Drawings, where applicable.
4. Upon completion of mark-up, submit a complete set of Project Record Product Data to City for City's records.
5. Where Project Record Product Data is required as part of maintenance manuals, submit marked-up Project Record Product Data as an insert in the manual, instead of submittal as Project Record Product Data.
6. The Contractor is responsible for mark-up and submittal of Project Record Product Data for the Work.

B. Material, Equipment, and Finish Data:

1. Provide data for primary materials, equipment, and finishes as required under each Specification Section
2. Submit two sets prior to final inspection, bound in 8-1/2 inches by 11 inches three-ring binders with durable plastic covers; provide typewritten table of contents for each volume
3. Arrange by Specification Section number and give names, addresses, and telephone numbers of Subcontractors and suppliers. List:
  - a. Trade names
  - b. Model or type numbers
  - c. Assembly diagrams
  - d. Operating instructions
  - e. Cleaning instructions
  - f. Maintenance instructions
  - g. Recommended spare parts
  - h. Product data

1.7 MISCELLANEOUS PROJECT RECORD SUBMITTALS

- A. Refer to other Specification Sections for miscellaneous record keeping requirements and submittals in connection with various construction activities. Immediately prior to Substantial Completion, complete miscellaneous records and place in good order, properly identified and bound or filed, ready for use and reference. Submit to the City for City's records. Categories of requirements resulting in miscellaneous records include, but are not limited to, the following:
1. Field records on excavations and foundations
  2. Field records on underground construction and similar Work
  3. Survey showing locations and elevations of underground lines
  4. Invert elevations of drainage piping
  5. Surveys establishing lines and levels
  6. Authorized measurements utilizing unit prices or allowances

7. Ambient and substrate condition tests
8. Certifications received in lieu of labels on bulk products
9. Batch mixing and bulk delivery records
10. Testing and qualification of tradespersons
11. Documented qualification of installation firms
12. Load and performance testing
13. Inspections and certifications by governing authorities
14. Leakage and water-penetration tests
15. Final inspection and correction procedures

**PART 2 – PRODUCTS  
NOT USED**

**PART 3 – EXECUTION  
NOT USED**

-END OF SECTION-